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ATTORNEY DOCKET NO. 8371-145

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Xin Li, Louis J. Kerofsky and Kristin Elizabeth Matthews

Serial No.: 10/092,851 Examiner: Not Yet Assigned

Filing Date: March 6, 2002 Group Art Unit: Not Yet Assigned

Title: SCALABLE LAYERED CODING IN A MULTI-LAYER, COMPOUND IMAGE DATA TRANSMISSION SYSTEM

Box DD  
ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97 (b), or  
(Within three months of filing national application; or date of entry of International application;  
or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:  
☐ Statement under 37 CFR 1.97 (e), or  
☐ a \$180 fee under 37 CFR 1.17 (p), or  
(After mailing of first Office Action, but prior to Notice of Allowance or Final Office Action)
- ☐ under 37 CFR 1.97 (d) together with:  
☐ Statement under 37 CFR 1.97 (e), or  
☐ a \$180.00 fee set forth in 37 CFR 1.17 (p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of

the issue fee)

☒ Applicant(s) submit herewith Form PTO 1449- Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

It is requested that the information disclosed herein be made of record in this application.

Any deficiency or overpayment should be charged or credited to deposit account number 13-1703. A duplicate copy of this sheet is enclosed.



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PATENT TRADEMARK OFFICE

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. on:

*April 15, 2002*  
*Corinne F. Ryan*  
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Respectfully submitted,

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**PATENT APPLICATION**

Atty. Docket No.: 8371-145

Serial No.: 10/092,851

Applicant: Xin Li, Louis J. Kerofsky and Kristin Elizabeth Matthews

Filing Date: March 6, 2002

Group: Not Yet Assigned

**INFORMATION DISCLOSURE CITATION  
FORM PTO-1449 (Modified)****U.S. PATENT DOCUMENTS**

<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub- Class</u>
_____	_____	<u>6,058,214</u>	<u>05/02/00</u>	<u>Bottou et al.</u>	<u>382</u>	<u>240</u>
_____	_____	<u>5,778,092</u>	<u>07/07/98</u>	<u>MacLeod et al.</u>	<u>382</u>	<u>176</u>

**FOREIGN PATENT DOCUMENTS**

<u>Document Number</u>	<u>Publication Date</u>	<u>Country</u>	<u>Name</u>
_____	_____		
_____	_____		

**OTHER DOCUMENTS**

<u>Exam Init</u>	<u>Ref</u>	<u>(Including Author, Title, Date, Pertinent Pages, etc.)</u>
_____	_____	D. Cheng and C. Bouman, "Document Compression Using Rate-Distortion Optimized Segmentation", J. Electronic Imaging 10(02), April 2001, pp. 460-474.
_____	_____	X. Li et al., "Block-based Segmentation and Adaptive Coding for Visually Lossless Compression of Scanned Documents", ICIP'2001.
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<u>Exam</u> <u>Init</u>	<u>Ref</u>	<u>(Including Author, Title, Date, Pertinent Pages, etc.)</u>
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Examiner: \_\_\_\_\_

Date Considered: \_\_\_\_\_